



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

David W. LaFore, et al.

Serial No.: 09/853,986

Filed: May 11, 2001

Atty. File No.: 7103

For: "DATA PROCESSING SYSTEM
AND METHOD FOR MANAGING
BROKER TRANSACTION
INFORMATION"

Group Art Unit: 2164

SUBMISSION OF MISSING
PARTS

CERTIFICATE OF MAILING

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING
DEPOSITED WITH THE UNITED STATES POSTAL SERVICE
AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO
ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON,
DC 20231 ON July 31, 2001.

SHERIDAN ROSS P.C.

BY:

Katherine L. Gonzales

Assistant Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

Dear Sir/Madam:

In response to the Notice to File Missing Parts dated July 7, 2001, in connection with the above-identified application, enclosed herewith please find a Declaration, substitute drawing sheets and the Information Disclosure Statement along with Form PTO-1449. Please note that the Assignment documents have been submitted to the Assignment Branch under separate cover.

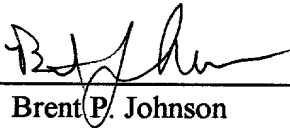
Also enclosed please find a check for \$65.00 for payment of the surcharge. Please credit any overpayment or debit any underpayment to Deposit Account No. 19-1970. A copy of the Notice to File Missing Parts is also enclosed.

09/853,986

Please address all future correspondence to the undersigned attorney at the address below.

Respectfully submitted,

SHERIDAN ROSS P.C.

By: 
Brent P. Johnson
Registration No. 38,031
1560 Broadway, Suite 1200
Denver, Colorado 80202-5141
(303) 863-9700

Date: 7/27/01



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/853,986	05/11/2001	David W. LaFore	7103-1-CIP

CONFIRMATION NO. 6862

FORMALITIES LETTER



OC00000006280666

Brent P. Johnson
SHERIDAN ROSS P.C.
Suite 1200
1560 Broadway
Denver, CO 80202-5141

08/08/2001 EABUBAK1 00000022 09853986

01 FC:205

65.00 DP

Date Mailed: 07/11/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

